PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James A. Sievert

RECEIVED

OCT 1 ...

Group 2100

Serial No.: 09/897,552	Examiner Unknown
Filed: July 2, 2001	Group Art Unit 2122
For: COM PERSISTENCE MODEL	
Docket No.: 1028.1120101 (RA 5202)	

TRANSMITTAL SHEET

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

CERTIFICATE UNDER 37 C.F.R. 1.8: I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this ___2nd___ day of ___October___, 2001

By _____

Brian N. Tufte

We are transmitting herewith the attached:

[ ]   Amendment

[ ]   No additional fee required
[ ]   The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		x9=	$	X18=	$
INDEPEN-DENT CLAIMS	-	=		X40=	$	X80=	$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+130=	$	+260=	
TOTAL				$		$	

[ ]   A check in the amount of $ _____ is enclosed.

[ ]   Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.

[X]   Other: Information Disclosure Statement, Form PTO-1449 and cited references.

[X]   Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

       By: _____

         Brian N. Tufte

         Reg. No. _____ 38,638 _____

Brian N. Tufte
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South
Suite 895
Minneapolis, Minnesota 55401-2246
Telephone: (612) 677-9050
Facsimile: (612) 359-9349

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James A. Sievert

Serial No.: 09/897,5~~~

Filed: July 2, 2001

For: COM PERSISTENCE MODEL

Docket No.: 1028.1120101 (RA 5202)

Examiner Unknown

Group Art Unit 2122

RECEIVED

OCT 1 6 2001

Group 2100

Assistant Commissioner
 for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

___2nd___ DAY OF ___October___, 2001

_____
Brian N. Tufte

Dear Sirs:

INFORMATION DISCLOSURE STATEMENT

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R 1.56, the

documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes,

by itself or in combination with other information, a prima facie case of unpatentability of any claim

of the present case.

Respectfully submitted,

James A. Sievert

By his attorney,

_____
Brian N. Tufte, Reg. No. 38,638
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, MN 55401-2246
Telephone: (612) 677-9050
Facsimile: (612) 359-9349

Dated: October 2, 2001

FORM PTO-1449

| Atty. Docket No.: RA-5202 (1028.1120101) | Serial No.: 09/897,552 |

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Applicant: James A. Sievert

Filing Date	Group Art:
July 2, 2001	2122

U.S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
	AA	5,247,669	09/21/1993	Abraham et al.	395	600	
	AB	5,644,764	07/01/1997	Johnson et al.	395	614	
	AC	5,692,183	11/25/1997	Hapner et la.	707	103	
	AD	5,765,039	06/09/1998	Johnson	395	682	
	AE	5,905,987	05/18/1999	Shutt et al.	707	103	
	AF	6,105,041	08/15/2000	Bennett et al.	707	206	

RECEIVED OCT 16 2001 Group 2100

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AG	Dabbene et al., "Adding Persistence to Objects Using Smart Pointers", Journal of Object-Oriented Programming, Vol. 8, No. 3, June 1995, pp. 33-39.
	AH	http://www.microsoft.com/Com/news/drgui.asp, "Dr. GUI's Gentle Guide to COM", downloaded June 3, 1999, 2 pages.
	AI	http://msdn.microsoft.com/library/welcome/dsmsdn/msdn_drguion020298.htm, "Dr. GUI on Components, COM, and ATL", downloaded June 3, 1999, 49 pages.
	AJ	http://msdn.microsoft.com/library/welcome/dsmsdn/DrGUI021099.htm, "Dr. GUI and COM Automation, Part 1", downloaded June 3, 1999, 15 pages.
	AK	http://msdn.microsoft.com/library/welcome/dsmsdn/DrGUI032999.htm, "Dr. GUI and COM Automation, Part 2: COM's Cool Data Types", downloaded June 3, 1999, 16 pages.
	AL	http://www.comdeveloper.com/articles/WhyATL.asp, "Why ATL? Why COM?", downloaded June 3, 1999, 4 pages.
	AM	http://www.objectnews.com/com_glossary.htm, "COM Glossary", downloaded June 3, 1999, 1 page.
	AN	http://www.safafyi.com/site/solution/som/entirex/dcom_gl.htm, "DCOM Glossary", downloaded June 3, 1999, 2 pages.
	AO	http://www.usenix.org/publications/library/proceedings/coots97/full_papers/hamilton/smartp.html, "Montana Smart Pointers: They're Smart, and They're Pointers", downloaded February 16, 2001, 51 pages.
	AP	http://ootips.org/yonat/4dev/smart-pointers.html, "Smart Pointers-What, Why Which?", downloaded February 16, 2001, 10 pages.

EXAMINER:	DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.